IATI Feasibility Study

International Federation of Red Cross and Red Crescent Societies

& Jo Wood

Appendices

14th December 2017

Authors:

Steven Flower (steven.flower@opendataservices.coop)
Tim Davies (tim.davies@opendataservices.coop)
Jo Wood (j02wood@gmail.com)

List of tables

- Table 1: Overview of the IATI organisation and activity standards
- Table 2: Key questions for the IATI data users
- Table 3: Core concepts of the IATI data standard
- Table 4: Required data elements for version 2.01 of the IATI activity standard
- Table 5: Overview of the publishing statistics of the IATI dashboard
- Table 6: Recommended data publishing from DFID
- Table 7: Recommended data publishing from Netherlands MFA
- Table 8: Additional requirements from Grand Bargain
- Table 9: Inferred IATI requirements
- Table 10: Peer publishers: publishing of inferred IATI requirements
- Table 11: Peer publishers: Grand Bargain dashboard progress
- Table 12: Peer publishers: publishing characteristics
- Table 13: Emergency Appeal quality issues
- Table 14: IFRC development plan quality issues
- Table 15: IFRC missing data elements
- Table 16: IFRC mapping to codelist issues
- Table 17: IFRC Other issues
- Table 18: Basic publication impact analysis
- Table 19: Basic publication resource drivers and indicative resource implications
- Table 20: Extended publication opportunities
- Table 21: Phase 1 implementation
- Table 22: Phase 1 impact
- Table 23: Phase 1 resource implications
- Table 24: Phase 2 implementation
- Table 25: Phase 2 impact

Appendix A: humanitarian reporting (2.02 & 2.03 proposal)

Humanitarian-focussed elements included in IATI 2.02
- The @humanitarian attribute to indicate that an activity is 'humanitarian related' (added to the   - The humanitarian-scope element to relate an activity to a specific emergency (via Glide number[1] and/or humanitarian response plan[2])
Humanitarian-focussed elements proposed for 2.03
Version 2.03 is due for release in the first half of 201. A number of humanitarian-related fields are to be included in the Release Candidate in January 2018, in particular: - Adding vocabulary to aid-type to support the classification of the extent to which funding is earmarked, supporting tracking against Grand Bargain earmarking commitments;   - Adding new organisation type codes, including a code for 'Partner country based NGO' intended to support tracking against Grand Bargain localisation commitment;   - Adding new transaction types, including incoming pledge and outgoing pledge, to describe 'Indicative, non-binding advice of an intended outgoing commitment.'

---

[1] http://glidenumber.net/glide/public/about.jsp
[2] http://www.unocha.org/somalia/humanitarian-coordination/humanitarian-response-plan

Appendix B: Top-level elements (activity standard) not considered

Within the IATI activity standard there are five elements that are not applicable to IFRC. For the purposes of this study, non-applicable elements are not considered further.	
Country budget items	Discontinued - incorporated into sectors
Capital spend	Relevant to implementations that resource infrastructure
Legacy data	Old / discontinued element
FSS (Forward Spending Survey)	Only relevant to OECD DAC
CRS Add (Creditor Reporting System additions)	

Appendix C: Data conditions of inferred requirement

Concept	Complexity	Codes	Volume	Updates	Mandatory	Inferred outcome
Reporting Organisation	No	No	No	Never	Yes	Required, meta
Activity Identifier	No	No	No	Never	Yes	Required, meta
Humanitarian Flag	No	No	No	No	No	Required, meta
Title	No	No	No	No	Yes	Required, narrative
Description	No	No	No	No	Yes	Required, narrative
Contact Info	No	No	No	No	No	Required, narrative
Sector	No	Yes	Yes	No	Yes	Required, complex
Humanitarian Scope	No	Yes	Yes	No	No	Required, classification
Date	No	Yes	Yes	No	Yes	Required, simple
Status	No	Yes	No	No	Yes	Required, simple
Participating Org	Yes	Yes	Yes	No	Yes	Required, complex
Country / Region	No	Yes	No	No	Yes	Required, simple
Budget	No	No	No	No	No	Required, simple
Transaction	Yes	Yes	Yes	Yes	No	Required, complex
Document Link	Yes	No	No	No	No	Required, simple
Modality	No	Yes	No	No	No	Required, classification
Result	Yes	Yes	No	Yes	No	Recommended, complex
Indicator	Yes	Yes	No	Yes	No	Recommended, complex

Appendix D: inferred requirement table (required fields)

Question	Core concept	Data conditions (sub-elements, attributes, codes)	Publishing characteristics	Inferred requirements	Type
What?	**Reporting Organisation**	Codelist: Org Type	Must not change	Would always be IFRC	Required Meta
What?	**Activity Identifier**	n/a	Must not change	IFRC-Org-ID-[Appeal/Project Number]	Required Meta
What?	**Humanitarian Flag**	Flag - yes/no	Can be changed		Required Meta
What?	**Title**	none	Can be in multiple languages	Clear and concise project name	Required Narrative
What?	**Description**	Codelist: Description Type	Can be in multiple languages	Overview narrative of the project	Required Narrative
What?	**Contact Info**	Sub elements for email, phone, web address etc		A generic contact email as a minimum	Required Narrative
What?	**Sector**	Codelists: Sector code Vocabulary Attribute: Percentage	When multiple exist, should add to 100%	As a minimum, one sector code per activity	Required Complex

What?	Humanitarian Scope	Codelists: Humanitarian Scope Type Vocabulary	Codes from Glide can be integrated	As a minimum, a single Glide number would be expected	Required Classification
When?	Activity Dates	Codelist: Date type	Dates can be updated at any time	As a minimum, a "planned start date".	Required Simple
When?	Activity Status	Codelist: Activity Status	Can be changed at any time	Starting point for publication would be "active projects"	Required Simple
Who?	Participating Org	Codelists: Org Type Org Role	Where possible, include organisation references (eg: DFID = "GB-GOV-1")	Expected to include donor and implementing partner information, where available	Required Complex
Where?	Recipient Country	Codelist: Country (ISO 3166-1) Attribute: Percentage	When multiple exist, should add to 100%	As a minimum, one recipient country per activity	Required Classification
Where?	Recipient Region	Codelist: Region Vocabulary Attribute: Percentage	When multiple exist, should add to 100%	When country is not known, then use recipient region(s)	Required Classification
How Much?	Budget	Codelist: Budget Type Budget Status	Preferable to have annual forward looking budgets, where possible	As a minimum, the total lifetime budget for the activity	Required Simple

How Much?	Transaction	Sub elements for various parts of the transaction Codelists: Transaction Type		As a minimum, all the Incoming Funds for the activity from donor(s), over time.	Required Complex
How?	Document Link	Codelists: Document Category	Functionality to include links to same document in different languages	Aa a minimum, a link to a publicly accessible document that provides narrative about the activity. This can be a webpage.	Required Simple
How?	Modality	Several elements with a single classification	Usually set as "default" for the whole project. Can be overridden within transactions	As a minimum, each activity should include relevant codes for modality	Required Classification

Appendix E: Complex data elements

Activity Sector(s)

This is a [code for the thematic area](#) the activity operates in.
It is possible that an activity can have more than one of these codes.
When it does so, then the percentage share of the total budget must be indicated.
It is also possible for an activity to have sector codes from different vocabularies. It is a a recommendation from humanitarian best practice that UN humanitarian clusters are used.

In the **Inferred Requirement**:

- The sector is **mandatory**
- The OECD DAC [sector list](#) should be used
  - This may be at "high level"
- It is possible add additional sector codes for any activity
  - When doing so, the percentage share of the budget must be input for all sectors associated with the activity

Further considerations

- Some organisations maintain a cut-down version of the default IATI (OECD DAC) sector code list, reflecting the key thematic areas of relevance
- Some organisations also choose to include the wider thematic areas they target. This would require an additional sector vocabulary
  - This may involve use of UN Clusters

Participating Organisations

The organisations involved in any activity, and their specific role.
Roles can be [four types](#):

- Funding
- Accountable
- Extending
- Implementing

In the **Inferred Requirement**:

- The participating-org field is **mandatory** at least once per activity
- This will always include IFRC
- Funding organisations are highly likely to be published
- Implementing partner data may not be uniformly available

Further suggestions

- The default values for any organisation should ideally be centrally managed
- For some organisations, it may be useful to "anonymise in IATI"

Transaction(s)

A flow of money in or out of the activity.

A transaction will be of a type - the once most common to IFRC being:

- Incoming Funds
- Disbursement
- Expenditure
- Commitment
- Incoming Commitment

In the **Inferred Requirement**:

- The transaction is **mandatory**, at least once
- The code for a transaction should be from the transaction type list
- Transactions must include a transaction date and a value date - these are usually the same, and only input / imported once.
- Transactions can be negative

Further suggestions

- Some organisations choose to aggregate transaction data to periods such as quarters
- Other organisations publish each and every transaction - particularly for Incoming Funds

Appendix F: Peer publishers: data elements

	UNICEF	WFP	OCHA	BRC	NLRC	WHO	UNDP	DFID	MFA	Average
Reporting Org	100%	100%	100%	100%	100%	100%	100%	100%	100%	**100%**
Activity ID	100%	100%	100%	100%	100%	100%	100%	100%	100%	**100%**
Title	100%	100%	100%	100%	100%	100%	100%	100%	100%	**100%**
Description	100%	100%	100%	100%	100%	100%	100%	100%	100%	**100%**
Contact Info	100%	100%	0%	0%	100%	100%	100%	100%	100%	**78%**
Sector	100%	100%	100%	100%	100%	100%	100%	100%	100%	**100%**
Humanitarian Scope	0%	100%	100%	0%	100%	100%	100%	100%	100%	**78%**
Date	100%	100%	100%	100%	100%	100%	100%	100%	100%	**100%**
Status	100%	100%	100%	100%	100%	100%	100%	100%	100%	**100%**
Participating Org	100%	100%	100%	100%	100%	100%	100%	100%	100%	**100%**
Country/Region	100%	100%	100%	75%	100%	100%	100%	100%	100%	**97%**
Modality	100%	100%	0%	100%	100%	100%	100%	100%	100%	**89%**
Budget	100%	100%	100%	100%	100%	100%	100%	100%	100%	**100%**
Transaction	100%	100%	100%	100%	100%	100%	100%	100%	100%	**100%**
Document Link	100%	100%	0%	0%	0%	80%	100%	100%	100%	**64%**

Appendix G: Open Information Policy - examples

Agency	Policy
The Netherlands Red Cross	Open Information Policy
The Omidyar Network	IATI Policy
The Bill and Melinda Gates Foundation	Information Sharing Approach & Open Access Policy

Appendix H: Emergency appeals data quality issues

Core concept	MDRNP008	MDRMY003	MDRAO006	MDRPE012
Title	Published document and data system do not match			
Activity Dates		From published document start date is 8 Feb 2017, IFRC data systems show 9 Feb 2017	From published document start date is 5 July 2016, IFRC data systems show 23 Feb 2016.	From published document start date is 24 March 2017, IFRC data systems show 22 Feb 2017.
Activity Status		Final report issued but IFRC data systems still show project as active	Final report issued but IFRC data systems still show project as active	
Budget	CHF 56.4 million from IFRC financial systems. CHF 62.9 million from published document			CHF 2.28 million from published documents and IFRC financial systems but figues do not match exactly. .
Document Link	Operation Updation No 14	DREF operation final report	Emergency Appeal Final report	6 month operation update.
Reporting periods	Issue date on report 13 Nov, financial report contains data only to end	Issue date on report 2 Nov, financial report contains data only to	Issue date on report 5 July 2016, financial data to end Oct, report	6 month operation update issued 19 Nov,

	Sept, report published on 22 Nov	end Oct, report published on 21 Nov.	published on 20 Nov 2016	no finance report, published 20
Procedural issues		Final report not issued within 90 days from end of operation	Final report not issued within 90 days from end of operation EPOA was original document published. This is referred to as an internal IFRC document	EPOA was original document published. This is referred to as an internal IFRC document

Appendix I: Development plans data quality issues

Core concept	MAAMY001	MAAUA002	MAALY001	MAA46004
Report description	Quarterly report	Operational Plan 2017	Operational report	Country Cluster operational plan V2
Time period covered	1 July 2016 to 31 Dec 2016	2017	Jan to Jun 2017	2017
Date of issue on report	10 May 2017	Not dated	Not dated	Not dated
Date published	12 May 2017	8 Nov 2017	1 Nov 2017	25 Oct 2017
Start date in IFRC financial systems	1 Jan 2016	1 Jan 2009	1 Jan 2016	1 Jan 2016
Quality issues identified	Narrative report also covers projects included in MAA50001. Report description is a quarterly report but covers two quarters. Unclear what report should have been produced and by when. Procedure on FedNet no longer in use.	Financial information included in narrative report that does not match financial systems. Report is for 2017 but it is only published in November 2017	Narrative report cover projects that do not belong to the Appeal under which the report is published. A link to a financial report is included but this report is by organisational structure, not Appeal.	Budget figures included in the narrative report do not match financial systems

Appendix J: Detailed option analysis

Core concept	Option A	Option B[3]	Cii[4]
Reporting Organisation	Unique IFRC IATI identifier	As per Option A	As per Option A
Activity Identifier	Appeal code	As per Option A	As per Option A
Humanitarian Flag	Y (MDR codes)	As per Option A	As per Option A
Title	Appeal Title	As per Option A	As per Option A
Description	n/a	Include a standard text that explains the nature of IFRC appeals generally with a link to the narrative document	As per Option B
Contact Info	n/a	Establish one contact email address for all activities	As per Option B
Sector	n/a	Use one sector code for all activities	As per Option B
Humanitarian Scope	n/a	n/a	n/a
Activity Dates	Codelist mapping required for date type. Actual start	As per Option A	As per Option A

[3] Option Ci uses the same data elements but includes both **emergency appeal** and **development plan** activities
[4] Option Ciii uses the same data elements but includes both **emergency appeal** and **development plan** activities

	date and planned end dates available		
Activity Status	Codelist mapping required. Either Implementation or Completion	As per option A	As per Option A
Participating Org	Codelist mapping required for donors. Information not available for implementing partners	As per Option A	As per Option A
Recipient Country	Available - IFRC uses the same geographical coding system as IATI)	As per Option A	As per Option A
Recipient Region	Available - IFRC would use its own regional classifications	As per Option A	As per Option A
Budget	Available	As per Option A	As per Option A
Transaction	Transaction level information provided only for incoming funds. Mapping required where donors also publish under IATI	Transaction level information provided for incoming funds and outflows. All outflows classified as expenditure with no structured implementing partner data	As per Option B
Document Link	Available	As per Option A	As per Option A
Modality	n/a	Use one code for all activities	As per Option B

Results (not currently required)	n/a	n/a	Use data collected on IFRC Outputs to provide an aggregated list of results at activity level

Appendix K: Example IATI data

The example below is a **simplified** example of the Appeal MDRPE012 modelled as IATI data based upon data accessible through the data warehouse. This shows an example of incoming funds.

```
<iati-activities>
  <iati-activity last-updated-datetime="2017-11-26T17:00:00Z" default-currency="CHF" humanitarian="1"
hierarchy="1">
    <iati-identifier>XM-DAC-21018-MDRPE012</iati-identifier>
    <reporting-org ref="XM-DAC-21018">
      <narrative>International Federation of the Red Cross and Red Cresent (IFRC)</narrative>
    </reporting-org>
    <title>
      <narrative>Peru - Floods</narrative>
    </title>
    <description>
      <narrative>"A boilerplate description of IFRC appeals." For more information see the attached
documents.</narrative>
    </description>
    <participating-org type="22" role="1">
      <narrative>American Red Cross</narrative>
    </participating-org>
    <participating-org type="22" role="1">
      <narrative>British Red Cross</narrative>
    </participating-org>
    <activity-status code="2" />
    <activity-date type="2" iso-date="2017-02-22" />
    <activity-date type="2018-03-23" />
    <contact-info>
      <email>contact@ifrc.org</email>
    </contact-info>
    <recipient-country code="PE">
```

```xml
      <narrative>Peru</narrative>
    </recipient-country>
    <sector vocabulary="1" code="72010" />
    <humanitarian-scope type="2" vocabulary="1-2" code="FL-2017-000018-PER">
      <narrative>Peru - Floods</narrative>
    </humanitarian-scope>
    <default-aid-type code="C01" />
    <budget type="2" status="1">
      <period-start iso-date="2017-02-22" />
      <period-end iso-date="2018-03-23" />
      <value currency="CHF" value-date="2017-02-22">2200000</value>
    </budget>
    <transaction>
      <transaction-type code="1" />
      <transaction-date iso-date="2017-03-23" />
      <value currency="CHF" value-date="2017-03-23">394683</value>
      <provider-org ref="XI-IFRC-DUS001">
        <narrative>United States Red Cross</narrative>
      </provider-org>
    </transaction>
  </iati-activity>
</iati-activities>
```

The example below demonstrates **additional** data that could be populated through contents available in published documents for MDRPE012, but not captured in current systems.

```xml
<iati-activities>
  <iati-activity last-updated-datetime="2017-11-26T17:00:00Z" default-currency="CHF" humanitarian="1"
hierarchy="1">
    <iati-identifier>XM-DAC-21018-MDRPE012-extra</iati-identifier>
    <reporting-org ref="XM-DAC-21018" type="40">
      <narrative>International Federation of the Red Cross and Red Cresent (IFRC)</narrative>
    </reporting-org>
    <title>
      <narrative>Peru - Floods</narrative>
    </title>
    <description>
      <narrative>The overall objective of this operation is to ensure that at least 50,000 people (10,000 families)
affected by the floods in the departments of Ancash, La Libertad, Lambayeque, Lima, Piura, and Tumbes receive
appropriate assistance in a timely, effective, and efficient manner and that they are provided with the necessary
support to recover with increased disaster resilience. The immediate response efforts will focus on the sectors of
health, water, sanitation and hygiene promotion, shelter (including non-food-household items), food security and
livelihoods, restoring family links and National Society capacity building. Conditional cash transfer will be
provided through vouchers to families to be supported with emergency shelters to complement the purchase of shelter
materials and tools, after a market assessment is completed.</narrative>
    </description>
    <participating-org ref="US-EIN-53-0196605" type="22" role="1">
      <narrative>American Red Cross</narrative>
    </participating-org>
    <participating-org ref="GB-CHC-220949" type="22" role="1">
      <narrative>British Red Cross</narrative>
    </participating-org>
    <activity-status code="2" />
    <activity-date type="2" iso-date="2017-02-22" />
    <activity-date type="2018-03-23" />
    <contact-info>
```

```xml
      <email>contact@ifrc.org</email>
   </contact-info>
   <recipient-country code="PE">
      <narrative>Peru</narrative>
   </recipient-country>
   <sector vocabulary="1" code="72010" />
   <sector vocabulary="10" code="7" />
   <sector vocabulary="10" code="11" />
   <sector vocabulary="10" code="4" />
   <humanitarian-scope type="2" vocabulary="1-2" code="FL-2017-000018-PER">
      <narrative>Peru - Floods</narrative>
   </humanitarian-scope>
   <default-aid-type code="C01" />
   <budget type="2" status="1">
      <period-start iso-date="2017-02-22" />
      <period-end iso-date="2018-03-23" />
      <value currency="CHF" value-date="2017-02-22">2200000</value>
   </budget>
   <transaction>
      <transaction-type code="1" />
      <transaction-date iso-date="2017-03-23" />
      <value currency="CHF" value-date="2017-03-23">394683</value>
      <provider-org ref="US-EIN-53-0196605">
         <narrative>United States Red Cross</narrative>
      </provider-org>
   </transaction>
   <transaction>
      <transaction-type code="1" />
      <transaction-date iso-date="2017-03-23" />
      <value currency="CHF" value-date="2017-03-23">126692</value>
      <provider-org ref="GB-CHC-220949" provider-activity-id="GB-CHC-220949-D443" />
   </transaction>
</iati-activity>
```

```
</iati-activities>
```

Appendix L: top level review of IATI organisation standard

Top level data element	Applicability	Observations
organisation-identifier	High	IFRC
name	High	IFRC
reporting-org	High	IFRC
total-budget	High	2016 budget
recipient-org-budget	None	
recipient-region-budget	None	
recipient-country-budget	None	
total-expenditure	High	2016 expenditure
document-link	High	Links to key published IFRC docs